

07-14-00

Assistant Commissioner for Patents
Washington, DC 20231
ATTN: BOX UTILITY APPLICATION

A

UTILITY
PATENT APPLICATION
TRANSMITTAL
Docket No.: 99-464
Date: July 14, 2000

Sheet 1 of 2

U.S. Express Mail Label No.: EK418443305US

Inventor Name(s):

XIAO CHEN; YI DONG; TARSEM JUTLA; AND ASHOK NANJUNDAN

Title:

METHOD FOR PROVIDING A PROCESS MODEL FOR A MATERIAL IN A
MANUFACTURING PROCESS

- ☒ Fee Transmittal Form Attached in Duplicate
- ☒ Specification and Claim(s) [Total Pages 20]
- ☒ Drawing(s) [Total Sheets 6]

FORMAL

Declaration [Total Pages 2]

- ☒ Newly Executed (Original or Copy)
- ☐ Copy From Prior Application (37 CFR § 1.63(d))
- ☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))
(Signed Statement Attached)
- ☒ Assignment Papers (Cover Sheet and Document(s))
- ☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (Specifically Itemized)
- ☐ Certified Copy of Priority Document(s)
- ☐ Other

--Continue Next Page--

JC658 U.S. PTO
09/616457
07/14/00

If a Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit: .

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

or

☐ Correspondence address below:

Name:

Address:

City:

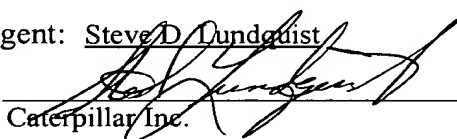
State:

Zip Code:

Country:

Attorney/Agent: Steve D. Lundquist

Registration No.: 42,816

Signature: 

Date: 7/14/00

Caterpillar Inc.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL**for FY 2000**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT

(\$) 690

Complete if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	XIAO CHEN ET AL.
Examiner Name	(Unassigned)
Group / Art Unit	(Unassigned)
Attorney Docket No.	99-464

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1129

Deposit Account Name

- ☒
- Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	690
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 690**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
16	-20** = 0	18	0
3	-3** = 0	78	0
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 0**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify)			
Other fee (specify)			

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0**SUBMITTED BY**

Name (Print/Type)	Steve D. Lundquist	Registration No. (Attorney/Agent)	42,816	Telephone	(314) 849-4079
Signature			Date	07/14/2000	

WARNING

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.